

jc979 U.S.  
02/26/02

2-27-2

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Approved for use through 10/31/2002. OMB 0651-0032  
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## UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 34341

First Inventor Thomas Thuli

Title OPTICAL COMPONENT, AND FABRICATION..

Express Mail Label No. EL573568105US

### APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
*(Submit an original and a duplicate for fee processing)*

2.  Applicant claims small entity status.  
See 37 CFR 1.27.

3.  Specification [Total Pages 15]  
*(preferred arrangement set forth below)*  
- Descriptive title of the invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table,  
or a computer program listing appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings *(if filed)*  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure

4.  Drawing(s) (35 U.S.C. 113) [ Total Sheets 4 ]

5. Oath or Declaration [ Total Pages ]  
a.  Newly executed (original or copy)  
b.  Copy from a prior application (37 CFR 1.63 (d))  
*(for continuation/divisional with Box 18 completed)*  
I.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).

6.  Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7.  CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission  
*(if applicable, all necessary)*

a.  Computer Readable Form (CRF)

b. Specification Sequence Listing on:  
I.  CD-ROM or CD-R (2 copies); or  
II.  paper

c.  Statements verifying identity of above copies

### ACCOMPANYING APPLICATION PARTS

9.  Assignment Papers (cover sheet & document(s))

10.  37 CFR 3.73(b) Statement  Power of  
*(when there is an assignee)*  Attorney

11.  English Translation Document *(if applicable)*

12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS  
Citations

13.  Preliminary Amendment

14.  Return Receipt Postcard (MPEP 503)  
*(Should be specifically itemized)*

15.  Certified Copy of Priority Document(s)  
*(if foreign priority is claimed)*

16.  Nonpublication Request under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.

17.  Other: check for \$1236

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment,  
or in an Application Data Sheet under 37 CFR 1.76:

Continuation  Divisional  Continuation-in-part (CIP)

of prior application No.: \_\_\_\_\_

Prior application Information: Examiner \_\_\_\_\_

Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under  
Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.  
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

### 19. CORRESPONDENCE ADDRESS

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| Country   | Telephone   | Fax                               |   |
| Name (Print/Type)   | Michael W. Garyey   | Registration No. (Attorney/Agent) | 35878   |
| Signature   |  |                                   | Date 26 Feb. 2002   |

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# FEE TRANSMITTAL

## for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 1236)

## Complete if Known

|                      |              |
|----------------------|--------------|
| Application Number   |              |
| Filing Date          |              |
| First Named Inventor | Thomas Thuli |
| Examiner Name        |              |
| Group Art Unit       |              |
| Attorney Docket No.  | 34341        |

## METHOD OF PAYMENT

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

|                        |        |
|------------------------|--------|
| Deposit Account Number | 160820 |
| Deposit Account Name   |        |

Charge Any Additional Fee Required  
Under 37 CFR 1.18 and 1.17

Applicant claims small entity status.  
See 37 CFR 1.27

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

| Large Entity<br>Fee Code (\$) | Small Entity<br>Fee Code (\$) | Fee Description   | Fee Paid |
|-------------------------------|-------------------------------|---|----------|
| 105                           | 130                           | 205 65 Surcharge - late filing fee or oath  |          |
| 127                           | 50                            | 227 25 Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                           | 130                           | 139 130 Non-English specification   |          |
| 147                           | 2,520                         | 147 2,520 For filing a request for ex parte reexamination                         |          |
| 112                           | 920*                          | 112 920* Requesting publication of SIR prior to Examiner action                   |          |
| 113                           | 1,840*                        | 113 1,840* Requesting publication of SIR after Examiner action                    |          |
| 115                           | 110                           | 215 55 Extension for reply within first month                                     |          |
| 116                           | 390                           | 216 195 Extension for reply within second month                                   |          |
| 117                           | 890                           | 217 445 Extension for reply within third month                                    |          |
| 118                           | 1,390                         | 218 695 Extension for reply within fourth month                                   |          |
| 128                           | 1,890                         | 228 945 Extension for reply within fifth month                                    |          |
| 119                           | 310                           | 219 155 Notice of Appeal  |          |
| 120                           | 310                           | 220 155 Filing a brief in support of an appeal                                    |          |
| 121                           | 270                           | 221 135 Request for oral hearing  |          |
| 138                           | 1,510                         | 138 1,510 Petition to institute a public use proceeding                           |          |
| 140                           | 110                           | 240 55 Petition to revive - unavoidable   |          |
| 141                           | 1,240                         | 241 620 Petition to revive - unintentional  |          |
| 142                           | 1,240                         | 242 620 Utility issue fee (or reissue)  |          |
| 143                           | 440                           | 243 220 Design issue fee  |          |
| 144                           | 600                           | 244 300 Plant issue fee   |          |
| 122                           | 130                           | 122 130 Petitions to the Commissioner   |          |
| 123                           | 130                           | 123 130 Petitions related to provisional applications                             |          |
| 126                           | 180                           | 126 180 Submission of Information Disclosure Stmt                                 |          |
| 581                           | 40                            | 581 40 Recording each patent assignment per property (times number of properties) |          |
| 146                           | 710                           | 246 355 Filing a submission after final rejection (37 CFR § 1.129(a))             |          |
| 149                           | 710                           | 249 355 For each additional invention to be examined (37 CFR § 1.129(b))          |          |
| 179                           | 710                           | 279 355 Request for Continued Examination (RCE)                                   |          |
| 169                           | 900                           | 169 900 Request for expedited examination of a design application                 |          |
| Other fee (specify) _____     |                               |   |          |

SUBTOTAL (1) (\$ 740)

## 2. EXTRA CLAIM FEES

|                    |    |              |                |            |
|--------------------|----|--------------|----------------|------------|
| Total Claims       | 32 | Extra Claims | Fee from below | Fee Paid   |
| Independent Claims |    | -20** =      | 12             | X 18 = 216 |
| Multiple Dependent |    | - 3** =      | 0              | X 0 = 0    |
|                    |    |              |                | 280 = 280  |

## Large Entity Small Entity

| Fee Code (\$) | Fee Code (\$) | Fee Description  |
|---------------|---------------|--|
| 103           | 18            | 203 9 Claims in excess of 20                                     |
| 102           | 80            | 202 40 Independent claims in excess of 3                         |
| 104           | 270           | 204 135 Multiple dependent claim, if not paid                    |
| 109           | 80            | 209 40 ** Reissue independent claims over original patent        |
| 110           | 18            | 210 9 ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ .496)

\*or number previously paid, if greater; For Reissues, see above

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ )

## SUBMITTED BY

Name (Print/Type) Michael W. Garvey

Signature

## Complete if applicable

|                                      |       |           |                |
|--------------------------------------|-------|-----------|----------------|
| Registration No.<br>(Attorney/Agent) | 35878 | Telephone | 216-579-1700   |
|                                      |       | Date      | 26 February 02 |

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